



## IAPD Report

# ANTHONY THOMAS PACE

CRD# 2115209

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### **Where did this information come from?**

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### **Are there other resources I can use to check the background of investment professionals?**

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### ANTHONY THOMAS PACE (CRD# 2115209)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/20/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	M HOLDINGS SECURITIES, INC.	CRD# 43285	02/11/2004
<b>IA</b>	LRI INVESTMENTS	CRD# 323556	10/09/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	M HOLDINGS SECURITIES, INC.	43285	PALM BEACH GARDENS, FL	02/11/2004 - 04/01/2024
<b>B</b>	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT	11/19/1999 - 02/27/2004
<b>IA</b>	HARVEST CAPITAL ADVISORS, LLC	125920	WETHERSFIELD, CT	03/09/2000 - 02/12/2004

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **LRI INVESTMENTS**  
Main Address: 3825 PGA BLVD  
SUITE 303  
PALM BEACH GARDENS, FL 33410  
Firm ID#: 323556

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	04/04/2024
IA	Florida	Investment Adviser Representative	Approved	10/09/2023
IA	New Hampshire	Investment Adviser Representative	Approved	12/10/2025

### Branch Office Locations

**LRI INVESTMENTS**  
3825 PGA BLVD  
SUITE 303  
PALM BEACH GARDENS, FL 33410

### Employment 2 of 2

Firm Name: **M HOLDINGS SECURITIES, INC.**  
Main Address: 1125 N.W. COUCH STREET  
SUITE 900  
PORTLAND, OR 97209  
Firm ID#: 43285

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	02/11/2004
B	FINRA	General Securities Principal	Approved	02/11/2004
B	FINRA	General Securities Representative	Approved	02/11/2004



## Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	05/31/2019
B	Colorado	Agent	Approved	05/17/2019
B	Connecticut	Agent	Approved	02/11/2004
B	Florida	Agent	Approved	08/31/2005
B	Georgia	Agent	Approved	05/23/2022
B	Illinois	Agent	Approved	04/16/2025
B	Louisiana	Agent	Approved	10/28/2013
B	Maine	Agent	Approved	05/03/2019
B	Massachusetts	Agent	Approved	02/11/2004
B	Michigan	Agent	Approved	01/17/2024
B	New Hampshire	Agent	Approved	02/11/2004
B	New Mexico	Agent	Approved	08/30/2022
B	New York	Agent	Approved	08/19/2004
B	North Carolina	Agent	Approved	02/25/2025
B	Pennsylvania	Agent	Approved	10/09/2009
B	Rhode Island	Agent	Approved	02/11/2004
B	South Carolina	Agent	Approved	07/28/2017
B	Texas	Agent	Approved	05/29/2007
B	Vermont	Agent	Approved	02/11/2004



Qualifications

Regulator	Registration	Status	Date
<div>B</div> Washington	Agent	Approved	05/02/2019

Branch Office Locations

**M HOLDINGS SECURITIES, INC.**  
29 SOUTH MAIN ST., STE 311  
WEST HARTFORD, CT 06107

**M HOLDINGS SECURITIES, INC.**  
3825 PGA Blvd. Suite 303  
Palm Beach Gardens, FL 33410



## Qualifications



### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/05/1996

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/29/1991
B	Direct Participation Programs Representative Examination (S22)	Series 22	05/20/1991
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/04/1991

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/22/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/14/1991



### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>





## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/11/2004 - 04/01/2024	M HOLDINGS SECURITIES, INC.	CRD# 43285	PALM BEACH GARDEN, FL
B	11/19/1999 - 02/27/2004	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
IA	03/09/2000 - 02/12/2004	HARVEST CAPITAL ADVISORS, LLC	CRD# 125920	WETHERSFIELD, CT
B	01/06/2000 - 02/12/2004	HARVEST CAPITAL LLC	CRD# 35723	WETHERSFIELD, CT
B	12/16/1997 - 12/09/1999	LINSKO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	05/16/1995 - 12/31/1997	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	02/08/1991 - 05/25/1995	CIGNA FINANCIAL ADVISORS, INC.	CRD# 145	RADNOR, PA

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2023 - Present	Lindberg & Ripple, LRI Investments LLC	Member	Y	Palm Beach Gardens, FL, United States
02/2004 - Present	LINDBERG & RIPPLE, INC.	FINANCIAL CONSULTANT	Y	WINDSOR, CT, United States
02/2004 - Present	M HOLDINGS SECURITIES	REGISTERED REPRESENTATIVE	Y	WINDSOR, CT, United States
02/2004 - Present	M HOLDINGS SECURITIES	REGISTERED REPRESENTATIVE	Y	WINDSOR, CT, United States
02/2004 - Present	M HOLDINGS SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) LRI Holdings, LLC; 29 South Main Street, Suite #311, West Hartford, CT 06107; 2017; Member; Private Equity Investing; Not



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Investment Related; 0 hours/month; 0 hours/month during business hours; No Compensation.

2) Lindberg & Ripple; 29 South Main Street, Suite #311, West Hartford, CT 06107; 11/2013; Managing Principal; Co-manage firm, run the investment division and consult with clients; Investment Related; 160 hours/month; 160 hours/month during business hours; Ownership, Wages/Salary/Tips.

3) Palm Beach County Estate Planning Council; 6671 W Indiantown Rd, Jupiter, FL 33458; Charitable industry association; Not Investment Related; President as of 06/01/2025; Run Board Meetings; 09/01/2020; 6 hours/month; 4 hours/month during trading hours.

4) Lindberg & Ripple, LRI Investments LLC; 3825 PGA Blvd Suite #303 Palm Beach Gardens, FL 33410; Registered Investment Advisor; Investment Related; Member; Provide investment advisory services; 07/03/2023; 160 hours per month; 160 hours per month during trading hours.

5) Audit Oversight Committee Town of Juno; 340 Ocean Dr, Juno Beach FL 33408; Board Membership; Investment related; Board Member; Review financials, contracts, and budget of the town; 4/02/2024; 2 hours per month; 2 hours per month during trading hours.

6) SP Investments Squared, LLC; 3825 PGA Blvd, Suite 303, Palm Beach Gardens, FL 33410; Pass through entity; Investment Related; Member; Entity to hold collective ownership interest of LRI Investments, LLC, an RIA; 03/01/2025; 100 hours per month; 100 hours per month during trading hours.

7) Brattle Point, LLC; not investment-related; 9 Woodman Rd, Chestnut Hill, MA 02467; acquiring and operating businesses; Member of the Management Board; Brattle Point is owned by a client of the RIA; 09/01/2025 start date; 1 hr/month; 0 hrs/month during business hours; participates in quarterly board meetings; no compensation.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Florida Office of Financial Regulation
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	10/09/2023
<b>Docket/Case Number:</b>	117414-SR
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	M HOLDINGS SECURITIES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Rendered investment advice, from a location within Florida, without being registered by the Office.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/09/2023



**Sanctions Ordered:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$60,000.00

**Portion Levied against individual:** \$60,000.00

**Payment Plan:**

**Is Payment Plan Current:** No

**Date Paid by individual:** 10/09/2023

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** On October 9, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Anthony Thomas Pace (Pace). Pace neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Pace violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Pace agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$60,000. The Office agreed to approve Pace's application as an associated person (RA) with M Holdings Securities, Inc. and LRI Investments, LLC effective October 9, 2023.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** State of Florida Office of Financial Regulations

**Sanction(s) Sought:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 10/09/2023

**Docket/Case Number:** 117414-SR

**Employing firm when activity occurred which led to the regulatory action:** M Holdings Securities

**Product Type:** No Product

**Allegations:** On October 9, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Anthony Thomas Pace (Pace). Pace neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Pace violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Pace agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$60,000. The Office agreed to approve Pace's application as an associated person (RA) with M Holdings Securities, Inc. and LRI Investments, LLC



effective October 9, 2023.

**Current Status:**

Final

**Resolution:**

Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

10/09/2023

**Sanctions Ordered:**

Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:**

\$60,000.00

**Portion Levied against individual:**

\$60,000.00

**Payment Plan:****Is Payment Plan Current:**

No

**Date Paid by individual:**

10/09/2023

**Was any portion of penalty waived?**

No

**Amount Waived:****Broker Statement**

My firm registered an RIA with the SEC this year and filed with the State of Florida where it is located. Upon registration, we found that my current corporate RIA, M Holding Inc, had not changed my Florida license to a home license when I moved to Florida in 2015. It was an administrative error on their part. I had changed all of my address, payroll, U4 etc to reflect I was living and working in Florida. M Holdings handled the investigation. We paid a fine to the State of Florida and I am now properly licensed.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	M HOLDINGS SECURITIES, INC.
<b>Allegations:</b>	The client was advised they did not have to take RMDs in 2016-2022 because they were employed. Advisor missed that the client was a 5% owner and, therefore did have to take distributions.
<b>Product Type:</b>	Other: 401(K)
<b>Alleged Damages:</b>	\$83,799.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/12/2024
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/08/2024
<b>Settlement Amount:</b>	\$83,799.00
<b>Individual Contribution Amount:</b>	\$25,000.00

### Disclosure 2 of 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	M HOLDINGS SECURITIES, INC.
<b>Allegations:</b>	CLIENTS ALLEGE THAT THE REP SHOULD HAVE RECOMMENDED MOVING THEIR INVESTMENT PORTFOLIO TO MORE CONSERVATIVE INVESTMENTS IN EARLY TO MID-2008. THE ACCOUNTS HAVE SUBSEQUENTLY DECLINED IN VALUE AS A RESULT.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$13,997.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/18/2008
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**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 03/10/2009  
**Settlement Amount:** \$13,996.87  
**Individual Contribution Amount:** \$13,996.87

### Disclosure 3 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** LINSICO / PRIVATE LEDGER CORP.  
**Allegations:** COMPLAINT ALLEGED UNSUITABILITY WITH REGARD TO VARIABLE ANNUITY MUTUAL FUND SUBACCOUNTS.  
**Product Type:** Annuity(ies) - Variable  
**Other Product Type(s):** MUTUAL FUNDS  
**Alleged Damages:** \$800,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/08/2004  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 12/06/2004  
**Settlement Amount:** \$55,000.00  
**Individual Contribution Amount:** \$0.00

**Firm Statement** COMPLAINT SETTLED TO AVOID THE COSTS OF PROTRACTED LITIGATION. THE REPRESENTATIVE PROVIDED FULL DISCLOSURE, AND THE COMPLAINT WAS WITHOUT MERIT.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** LINSICO PRIVATE LEDGER  
**Allegations:** CLIENT ALLEGES THAT IN JANUARY 1999 HE INVESTED HIS PENSION INTO 2 ROLLOVER VARIABLE ANNUITIES. HE CLAIMS THAT ALTHOUGH HE WAS INTERESTED IN INCOME, THE INVESTMENTS WERE IN UNSUITABLE AGGRESSIVE SUBACCOUNTS AND THE ACCOUNTS LOST MONEY AS A RESULT. HE CLAIMS THERE IS ONLY ABOUT \$200,000 REMAINING OUT OF OVER 1 MILLION INVESTED.  
**Product Type:** Annuity(ies) - Variable  
**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 04/06/2004





<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	12/06/2004
<b>Settlement Amount:</b>	\$55,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	PREVIOUS BD NOTED THAT COMPLAINT SETTLED TO AVOID THE COSTS OF PROTRACTED LITIGATION; THE REPRESENTATIVE PROVIDED FULL DISCLOSURE, AND THE COMPLAINT WAS WITHOUT MERIT.



## End of Report

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